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CALIFORNIA EMERGENCY MANAGEMENT AGENCY

February 26, 2009

Rui Cunha, Program Manager
Placer County
2968 Richardson Drive
Auburn, Ca. 95603

Monitoring Report #M08-040

Dear Mr. Cunha:

The CalEMA, Monitoring and Audits Unit, Program Monitor, Jennifer Kolbe conducted a monitoring review for the purpose of monitoring Placer County's CalEMA Grant Programs. I wish to thank you and your staff for the courtesy extended to Ms. Kolbe during the review process. Enclosed, you will find the monitoring report for the following grants:

GRANT/FIPS NUMBER	PROGRAM NAME	PERIOD MONITORED	MONITORED AMOUNT
2005-0015 - 061-00000	FY05 Homeland Security Grant Program (HSGP)	10/01/04 - 06/30/08	\$793,341
2006-0071 - 061-00000	FY06 Homeland Security Grant Program (HSGP)	07/01/06 - 06/30/09	\$629,272
2007-0008 - 061-00000	FY07 Homeland Security Grant Program (HSGP)	07/01/06 - 06/30/10	\$420,842

The monitoring included a review of staffing needs, operational practices, source documentation, activities, and data reporting requirements. In addition, the monitor examined the grant for compliance with federal financial, administrative and auditing requirements, program guidelines, and other mandates as applicable. Finally, the monitor performed a selected review of accounting records that support the amounts claimed in your reimbursement requests. Project expenditures were validated to provide reasonable assurance that expenses are related to the grant, proper records are maintained, and expenditures are properly authorized and recorded.

As a reminder, the purpose of monitoring is to assist projects in the achievement of their goals and aiding them in administering their grant funds in the most effective and efficient manner. The monitoring is used as a tool to assist the subgrantee in complying with these requirements. Your CalEMA Program Representative will receive a copy of the monitoring report. Their name and phone number are identified on the face sheet of the report.

If the monitoring report does not identify any findings, a Corrective Action Plan is not necessary and the monitoring process is complete.

Monitoring Report #M08-037

Page 2

If you need to correspond to our office regarding this monitoring report, please include the monitoring control number on all correspondence. Send your response to:

California Emergency Management Agency
Grants Administrative Section
Monitoring & Audits Unit
State Capitol
Sacramento, California 95814

Thank you for your participation in the monitoring process. If you have any questions regarding this letter or the attached report, please feel free to contact Jennifer Kolbe at 916-324-6118.

Sincerely,

A handwritten signature in black ink, appearing to read 'Brendan Murphy', with a stylized flourish at the end.

Brendan Murphy
Deputy Director

cc: Tracey Frazier, Program Representative
Monitoring & Audits Unit, chron file
Grants Management Unit, grant file

Monitoring Report Response Form

TO: California Emergency Management Agency
Grants Management Section
Monitoring & Audits Unit
State Capitol
Sacramento, CA 95814

Grant Numbers: FY2005-0015
FY2006-0071, FY2007-0008

Monitoring Control Number: M08-040

Attention: Monitoring & Audit Unit

Response Due: 06/26/09

FROM: Subgrantee: Placer County Operational Area

Required Corrective Action Plan

☐

I have reviewed the above referenced monitoring report and have submitted for your review and approval, an outlined Corrective Action Plan that addresses the findings noted in this report to be reviewed and approved by OHS program staff.

Authorized Signature

Title

Date

Typed Name

Title

Telephone Number



**CALIFORNIA GOVERNOR'S
OFFICE OF HOMELAND SECURITY
MONITORING NARRATIVE REPORT**

GRANT/FIPS NUMBER	PROGRAM NAME	PERIOD MONITORED	MONITORED AMOUNT
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2007-0008-00000	FY07 Homeland Security Grant Program (HSGP)	07/01/06 to 06/30/10	\$420,842

County of Placer Operational Area			
AUTHORIZED AGENT:	Rui Cunha	ADDRESS:	2968 Richardson Drive Auburn, Ca. 95603
CONTACT EMAIL:	rcunha@placer.ca.gov		
CONTACT PHONE NUMBER:	(530) 886-5300		
ALTERNATE POINT of CONTACT:	Dick Simmons		
CONTACT EMAIL:	rsimmons@placer.ca.gov		
PROGRAM REPRESENTATIVE:	Tracey Frazier	E-mail:	tracey.frazier@ohs.ca.gov
PHONE NUMBER:	(916) 324-6342		
PROGRAM MONITOR:	Jennifer Kolbe	E-mail:	jennifer.kolbe@ohs.ca.gov
PHONE NUMBER:	(916) 324-6118	DATE OF MONITORING:	December 18, 2008

PERSONS INTERVIEWED DURING MONITORING VISIT

NAME	TITLE	AGENCY
Rui Cunha	Program Manager	Office of Emergency Services
Kim Davis	Account Auditor	County of Placer
Richard Simmons	Emergency Services Coordinator	Office of Emergency Services

Prepared by:		2-26-09
	Jennifer Kolbe, Program Monitor, OHS Administration Division, Monitoring & Audits Unit	Date
Approved by:		2/26/09
	Brendan Murphy, Deputy Director, OHS Administration Division, Monitoring & Audits Unit	Date

Monitoring Report

Monitoring Report Summary	Total # of Items in Category	In Compliance	Not in Compliance	Not Monitored	Not Applicable	Total
A. Administrative Review						
Review of Audit Reports	2	2				2
Grant Assurances	1	1				1
Grant Approval Notification	2	2				2
Performance Reports	1	1				1
Homeland Security Strategies	1	1				1
Publication of Published Materials	1	1				1
B. Programmatic Review						
Program Goals and Objectives	2	2				2
Exercise	2			2		2
Training	1	1				1
Planning	1	1				1
C. Financial Management						
Accounting System	8	8				8
Distribution of Funds	1	1				1
Advance of Funds	2				2	2
Change Requests/Modifications	2	2				2
Maintenance of Records	1	1				1
D. Fiscal: Personnel Services						
Management and Administrative Services	3	3				3
Overtime/Back Fill	3	3				3
E. Fiscal: Procurement						
Responsibility	1	1				1
Methods of Procurement	4	4				4
F. Fiscal: Equipment & Property Management						
Equipment Purchases	3	2	1			3
Property Management & Records Keeping	2	2				2
G. Subgrantee Monitoring & Oversight						
Subrecipient single audit requirements	1				1	1
Management and Administrative Responsibility	1				1	1
Overtime/Backfill/CTO Responsibility	1				1	1
Procurement Responsibility	1				1	1
Equipment & Property Management Responsibility	1				1	1
Total	49	39	1	2	7	49

Monitoring Report

PROGRAM SUMMARY

Corrective Action Plan: Required.

MONITORING REPORT DETAIL

- A. Administrative Review:** Subgrantee in compliance (8 items).
1. **Review of Audit Report:** Subgrantee in compliance (2 items).
 2. **Grant Assurances:** Subgrantee in compliance (1 item).
 3. **Grant Approval Notification:** Subgrantee in compliance (2 items).
 4. **Performance Reports:** Subgrantee in compliance (1 item).
 5. **Homeland Security Strategies:** Subgrantee in compliance (1 item).
 6. **Publication of Materials:** Not applicable for Subgrantee (1 item).
- B. Programmatic Review:** Subgrantee in compliance (4 items). Subgrantee not monitored (2).
1. **Program Goals & Objectives:** Subgrantee in compliance (2 items).
 2. **Exercise:** Subgrantee not monitored. (2 items)
 3. **Training:** Subgrantee in compliance (1 item).
 4. **Planning:** Subgrantee in compliance (1 item).
- C. Financial Management:** Subgrantee in compliance (12 items). Not applicable for Subgrantee (2 items).
1. **Accounting System:** Subgrantee in compliance. (8 items).
 2. **Distribution of Funds:** Subgrantee in compliance (1 item).
 3. **Advance of Funds:** Not applicable for Subgrantee (2 items).
 4. **Change Request/Modifications:** Subgrantee in compliance (2 items).

Monitoring Report

5. **Records Maintenance:** Subgrantee in compliance (1 item).

D. **Fiscal: Personnel Services:** Subgrantee in compliance (6 items).

1. **Management and Administrative Services:** Subgrantee in compliance (3 items).

2. **Overtime/Backfill and/or CTO:** Subgrantee in compliance (3 items).

E. **Fiscal: Procurement:** Subgrantee in compliance (5 items).

F. **Fiscal: Equipment & Property Management:** Subgrantee in compliance (4 items). Subgrantee not in compliance (1 item).

1. **Equipment Purchases:** Subgrantee in compliance (2 items). Subgrantee not in compliance (1 item).

a. Allowable and Applicable Equipment: Subgrantee not in compliance (1 item).

Requirement: Title 28 of the Code of Federal Regulations 66.20(b)(5) and the DOJ Financial Guide Part III, Ch. 16, pg 116, states that agency program regulations and the terms of grant and sub-grant agreements must be followed to ensure that all costs are reasonable, allowable and allocated appropriately.

Finding #1: In review of the equipment for the 2006-0071 grant, the program monitor was informed by the subgrantee that the software called, Dashboard and Predictive Analytic Solutions was not up and running.. The City of Lincoln PD is currently in disagreement with the vendor over correct installation of the software. The total purchase price was \$47,033.

Action Required: The subgrantee must back out the charges of \$47,033 and replace it with other allowable equipment purchased during the same reimbursement period. The subgrantee must submit the new invoice to the monitor to correct the finding.

b. Prior Approval and Acquisition: Subgrantee in compliance (1 item).

c. Proficiency Training: Subgrantee in compliance (1 item).

Monitoring Report

2. **Property and Records Keeping:** Subgrantee in compliance (2 items).

Note: Per the monitor's request, the subgrantee, Placer County, is transferring the Reverse 911 Server from grant 2006-0071, to the Sacramento UASI. The purchase was shared by Placer County and the Sacramento UASI to cover the three cities included in the UASI; Roseville, Rocklin and Granite Bay. Placer County now has another server covering the same geographical areas and no longer needs the server. The monitor has received new equipment lists from both subgrantees showing the transfer of the equipment. The Sacramento UASI will now be responsible for maintaining the server.

G. **Subgrantee Monitoring & Oversight:** Not applicable for Subgrantee (5 items).

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California Emergency Management Agency

June 23, 2009

Rui Cunha, Program Manager
Placer Operational Area
Office of Emergency Services
2968 Richardson Drive
Auburn, Ca. 95603

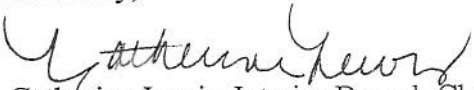
Subject: Corrective Action Plan for Monitoring Narrative Report #M08-040

Dear Mr. Cunha:

As you are aware, the California Emergency Management Agency, Homeland Security section, is responsible for monitoring subgrantees to ensure that all administrative, programmatic and financial responsibilities are fulfilled and in accordance with the individual grant guides and applicable rules and regulations.

We have completed our review of your submitted corrective action plan for fiscal year FY05-000015, FY06-0071, and 2007-0008 grant programs and have concluded that you have implemented appropriate corrective action as prescribed in the Monitoring Narrative Report #M08-040. Therefore, no further action is required on your part.

Sincerely,


Catherine Lewis, Interim Branch Chief
Local Assistance Monitoring Branch

cc: Homeland Security Program Representative
Local Assistance Monitoring Branch, Chron File
Grants Management Unit, Chron File

Placer County
Monitor Review Findings
Corrective Action Plan

Finding #1: In review of the equipment for the 2006-0071 grant, the program monitor was informed by the subgrantee that the software called, Dashboard and Predictive Analytic Solutions was not up and running. The City of Lincoln PD is currently in disagreement with the vendor over the correct installation of the software. The total purchase price was \$47,033.

CAP Required: The subgrantee must back out the charges of \$47,033 and replace it with other allowable equipment purchased during the same reimbursement period. The subgrantee must submit the new invoice to the monitor to correct the finding.

Action Taken: The subgrantee backed out the charge of \$47,033 for the Dashboard and Predictive Analytic Solutions from the 2006 equipment list. It was replaced with other equipment from the same reimbursement period that totaled \$47,033.32. The changes are reflected on the updated equipment log sheet.

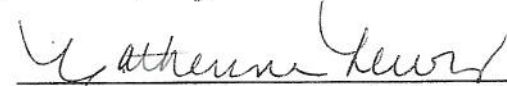
Finding corrected.

Prepared by:


Jennifer Kolbe, Program Monitor, CalEMA, Local Assistance Monitoring Branch

6-23-09
Date

Approved by:


Catherine Lewis, Interim Branch Chief, CalEMA, Local Assistance Monitoring Branch

6/23/09
Date



COUNTY OF PLACER



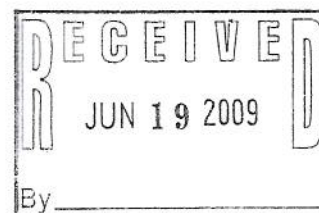
PLACER OPERATIONAL AREA OFFICE OF EMERGENCY SERVICES

2968 Richardson Drive, Auburn, CA 95603 f(530) 886-5300 f FAX (530) 886-5343

www.placer.ca.gov

June 16, 2009

Ms. Jennifer Kolbe
Monitoring and Audits Unit
California Emergency Management Agency
3650 Schriever Avenue
Mather, CA 95655



Re: Monitoring #M08-040

Dear Ms. Kolbe,

Attached is an updated Equipment Ledger from the Financial Forms Workbook for the 2006 Homeland Security Grants Program for Placer County. In accordance with the Monitoring Narrative Report referenced above, the charge of \$47,033 for a purchase by the City of Lincoln for a software program, *Dashboard and Predictive Analytic Solutions* has been backed out (shown in red and lined through), and replaced by a like amount of equipment (indicated in blue) purchased by the City of Lincoln during the 2006 grant performance period. All of the newly listed equipment has been verified by my office to be eligible items listed in the Authorized Equipment List (AEL), and copies of all invoices are attached.

Due to the nature of this finding, no formal "Corrective Action Plan" is submitted. However, despite the fact that incidents of this nature are extremely rare, this office will closely monitor any future grant funded issues heading toward litigation. Placer County will take immediate action to ensure the disencumbering of federal funds and the replacement of those funds with sub-grantee/recipient funds - as was done in this case.

We sincerely thank you for your assistance and patience during this entire process. The City of Lincoln, Placer County, the Office of Emergency Services and all of our sub-recipients were appreciative of your professional acumen and apparent personal interest in both the equipment and the capabilities of our public safety community during your monitoring visit. Your visit helped us.

Respectfully,

A handwritten signature in black ink, appearing to read "Rui Cunha".

Rui Cunha
Program Manager

Attachments:
Monitoring Report Response Form
Equipment Ledger (Corrected)
Copies of Replacement Equipment Invoices

Cc: Brian Vizzusi, Chief, Lincoln Police Department
Paul Shelgren, Lt, Lincoln Police Department
Jenny Simpson, Grants Coordinator, Lincoln
Kim Davis, CEO-Financial Unit

Monitoring Report Response Form

TO: California Emergency Management Agency
Grants Management Section
Monitoring & Audits Unit
State Capitol
Sacramento, CA 95814

Grant Numbers: FY2005-0015
FY2006-0071, FY2007-0008

Monitoring Control Number: M08-040

Attention: Monitoring & Audit Unit

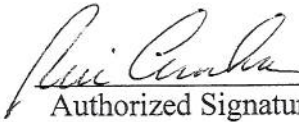
Response Due: 06/26/09

FROM: Subgrantee: Placer County Operational Area

Required Corrective Action Plan



I have reviewed the above referenced monitoring report and have submitted for your review and approval, an outlined Corrective Action Plan that addresses the findings noted in this report to be reviewed and approved by OHS program staff.


Authorized Signature

Program Manager
Title

June 16, 2009
Date

Rui Cunha
Typed Name

Title

(530) 886-5300
Telephone Number